

04/04/01
U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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11000 U.S. PTO
0978426220
04/04/01

UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 004411.P004
(maximum 12 characters)

First Named Inventor Roni Korenshtain

Title: A Page Sub-Component Prerequisite Control Mechanism

Express Mail Label No. EL 845313694 US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form** (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status.** (37 CFR 1.27)
3. **Specification** (Total Pages 44)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawings(s)** (35 USC 113) (Total Sheets 20)
5. **Oath or Declaration** (Total Pages 5)
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet.** (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**

10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

b. Power of Attorney

11. English Translation Document (if applicable)

12. a. Information Disclosure Statement (IDS)/PTO-1449

b. Copies of IDS Citations

13. **Preliminary Amendment**

14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17. Other: Express Mail Certification

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
 Of Prior Application No.: _____ Examiner _____ Group Art Unit _____

(which is a continuation/ divisional/ CIP of prior application no. _____,
 which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is
 the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an
 assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____
 (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
 or _____ (Insert Customer No. or Attach Bar Code Label here)
 Correspondence Address Below

NAME Michael A. DeSanctis

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (303) 740-1980 FAX (303) 740-6962

Name (PRINT/TYPE): Michael A. DeSanctis Registration No.: 39,957

Signature: Michael A. DeSanctis Date: 4/3/01

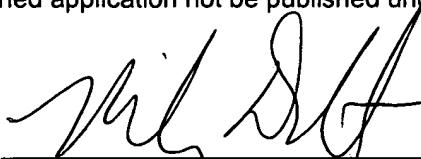
REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)

First Named Inventor Roni Korenshtein
Title A Page Sub-Component Prerequisite Control Mechanism

Attorney Docket No. 004411.P004

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

4/3/01
Date



Signature

Michael A. DeSanctis
Typed or Printed Name

39,957
Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$ 790.00

Complete if Known:

Application No. Unknown
 Filing Date Concurrently Herewith
 First Named Inventor Roni Korenshtain
 Group Art Unit Unknown
 Examiner Name Unknown
 Attorney Docket No. 004411.P004

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
 Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed: Check
 Credit Card
 Money Order
 Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid		
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
101	710	201	355	Utility application filing fee	<u>\$ 710.00</u>
106	320	206	160	Design application filing fee	<u></u>
107	490	207	245	Plant filing fee	<u></u>
108	710	208	355	Reissue filing fee	<u></u>
114	150	214	75	Provisional application filing fee	<u></u>

SUBTOTAL (1) \$ 710.002. EXTRA CLAIM FEES

Extra Claims			Fee from below	Fee Paid
Total Claims	<u>19</u>	<u>- 20** = 0</u>	X <u>\$ 18.00</u>	<u>= \$ -0-</u>
Independent Claims	<u>4</u>	<u>- 3** = 1</u>	X <u>\$ 80.00</u>	<u>= \$ 80.00</u>
Multiple Dependent				

**Or number previously paid, if greater; For Reissues, see below.

Large Entity	Small Entity	Fee Description		
Fee	Fee	Fee		
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 80.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	
Code	(\$)	Code	(\$)
105	130	205	65
127	50	227	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee or cover sheet
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			Non-English specification
			For filing a request for ex parte reexamination
			Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*
			Requesting publication of SIR after Examiner action
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	130	123	130
126	180	126	180
581	40	581	40
			Petition to institute a public use proceeding
			Petition to revive - unavoidable
			Petition to revive - unintentional
			Utility issue fee (or reissue)
			Design issue fee
			Plant issue fee
			Petitions to the Commissioner
			Petitions related to provisional applications
			Submission of Information Disclosure Stmt
			Recording each patent assignment per property (times number of properties)
146	710	246	355
			For filing a submission after final rejection (see 37 CFR 1.129(a))
149	710	249	355
			For each additional invention to be examined (see 37 CFR 1.129(b))
179	710	279	355
169	900	169	900
			Request for Continued Examination (RCE)
			Request for expedited examination of a design application

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$ _____

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Michael A. DeSanctis

Signature: Michael A. DeSanctis Date: 9/3/01

Reg. Number: 39,957 Telephone Number: (303) 740-1980

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

EXPRESS MAIL CERTIFICATE OF MAILING
"Express Mail" Mailing No. EL 845313694 US

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: April 4, 2000

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen
Signature

4-4-01
Date

11000 U.S. PRO
09/026220
04/04/01



Serial/Patent No.: Unknown Filing/Issue Date: Concurrently
Client: E*Trade
Title: A Page Sub-Component Prerequisite Control Mechanism

bstz File No.: 004411_P004
Date Mailed: 4-4-01

Atty/Secty Initials: MAD/fr

Docket Due Date:

& Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs.)
 Appeal Brief (____ pgs.) (in triplicate)
 Application - Utility 44 pgs., with cover and abstract
 Application - Rule 1.53(b) Continuation (____ pgs.)
 Application - Rule 1.53(b) Divisional (____ pgs.)
 Application - Rule 1.53(b) CIP (____ pgs.)
 Application - Rule 1.53(d) CPA Transmittal (____ pgs.)
 Application - Design (____ pgs.)
 Application - PCT (____ pgs.)
 Application - Provisional (____ pgs.)
 Assignment and Cover Sheet
 Certificate of Mailing
 Declaration & POA (____ pgs.)
 Disclosure Docs & Orig & Cpy of Invents Signed Letter (____ pgs.)
 Drawings: 80 # of sheets includes 24 figures

Express Mail No: EL845313694US Check No. 1380
 _____ Month(s) Extension of Time Amt: \$790.00
 Information Disclosure Statement & PTO 149 (____ pgs.) Check No. _____
 Issue Fee Transmittal Amt: _____
 Notice of Appeal
 Petition for Extension of Time
 Petition for _____
 Postcard
 Power of Attorney (____ pgs.)
 Preliminary Amendment (____ pgs.)
 Reply Brief (____ pgs.)
 Response to Notice of Missing Parts
 Small Entity Declaration for Indep. Inventor/Small Business
 Transmittal Letter, in duplicate
 Fee Transmittal, in duplicate

Other: _____

EL845313694US

"Express Mail" mailing label number: EL 845313694 US
Date of Deposit: April 4, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231

Fran C. Rolfsen
(Name of person mailing paper or fee)

Fran C. Rolfsen
(Signature of person mailing paper or fee)

April 4, 2001
(Date signed)